**This schedule applies to: Utilities and Transportation Commission**

**Scope of records retention schedule**

This records retention schedule authorizes the destruction/transfer of the public records of the Utilities and Transportation Commission relating to the unique functions of protecting consumers and ensuring that utility and transportation services are fairly priced, available, reliable and safe. The schedule is to be used in conjunction with the *State Government General Records Retention Schedule (SGGRRS),* which authorizes the destruction/transfer of public records common to all state agencies.

**Disposition of public records**

Public records covered by records series within this records retention schedule (regardless of format) must be retained for the minimum retention period as specified in this schedule. Washington State Archives strongly recommends the disposition of public records at the end of their minimum retention period for the efficient and effective management of state resources.

Public records designated as “Archival (Permanent Retention)” must not be destroyed. Records designated as “Archival (Appraisal Required)” must be appraised by the Washington State Archives before disposition. Public records must not be destroyed if they are subject to ongoing or reasonably anticipated litigation. Such public records must be managed in accordance with the agency’s policies and procedures for legal holds. Public records must not be destroyed if they are subject to an existing public records request in accordance with chapter 42.56 RCW. Such public records must be managed in accordance with the agency’s policies and procedures for public records requests.

**Revocation of previously issued records retention schedules**

All previously issued records retention schedules to the Utilities and Transportation Commission are revoked. The Utilities and Transportation Commission must ensure that the retention and disposition of public records is in accordance with current, approved records retention schedules.

**Authority**

This records retention schedule was approved by the State Records Committee in accordance with RCW 40.14.050 on April 3, 2019.

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| *Signature on File**\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_***For the State Auditor:****Al Rose** | *Signature on File**\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_***For the Attorney General:****Suzanne Becker** | *Signature on File**\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_***For the Office of Financial Management:****Gwen Stamey** | *Signature on File**\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_***The State Archivist:** **Steve Excell** |

Revision History

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| --- | --- | --- |
| Version | Date of Approval | Extent of Revision |
| 1.0 | October 3, 2018 | Consolidation of all existing disposition authorities (with some minor revisions). |
| 1.1 | April 3, 2019 | Alphabetized records series and sections, revised archival designations, added essential designations, updated Energy Facilities section, revised series titles and descriptions, and added new series to create significant/routine. |

For assistance and advice in applying this records retention schedule,

please contact the Utilities and Transportation Commission’s Records Officer

or Washington State Archives at:

recordsmanagement@sos.wa.gov

**TABLE OF CONTENTS**

[1. CONSUMER PROTECTION AND ADVOCACY 4](#_Toc3881916)

[1.1 CONSUMER COMPLAINTS AND INQUIRIES 4](#_Toc3881917)

[2. ECONOMIC REGULATION 5](#_Toc3881918)

[2.1 REQUIRED REPORTING 5](#_Toc3881919)

[3. HEARINGS AND PROCEEDINGS 6](#_Toc3881920)

[3.1 FORMAL CASES 6](#_Toc3881921)

[3.2 TARIFFS 10](#_Toc3881922)

[4. INVESTIGATIONS 11](#_Toc3881923)

[5. PUBLIC SAFETY AND TRANSPORTATION 12](#_Toc3881924)

[5.1 COMMON CARRIERS 12](#_Toc3881925)

[5.2 ENERGY FACILITIES 14](#_Toc3881926)

[5.3 PIPELINES 20](#_Toc3881927)

[5.4 RAILROADS 22](#_Toc3881928)

[5.5 UTILITIES 27](#_Toc3881929)

[6. LEGACY RECORDS 28](#_Toc3881930)

[glossary 29](#_Toc3881931)

[INDEXES 32](#_Toc3881932)

1. CONSUMER PROTECTION AND ADVOCACY

This section covers records relating to protecting and advocating for consumers of utilities and transportation services.

| * 1. CONSUMER COMPLAINTS AND INQUIRIES

The activity of ensuring that services are fairly priced, available, reliable and safe. |
| --- |
| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND****DISPOSITION ACTION** | **DESIGNATION** |
| 92-01-49675Rev. 2 | ***Informal Consumer Complaints and Inquiries***Records relating to informal complaints and inquiries filed by consumers regarding utility and transportation companies operating in the state of Washington.  | **Retain** for 5 years after completion of complaint or inquiry *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOFM |

1. ECONOMIC REGULATION

This section covers records relating to the required financial and historic information reporting of the operations of regulated industries.

| * 1. REQUIRED REPORTING

The activity of receiving reports from regulated industries.  |
| --- |
| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND****DISPOSITION ACTION** | **DESIGNATION** |
| 81-07-28462Rev. 0 | ***Annual Budget of Expenditures***Provides a record of the regulating, restricting and controlling of expenditures for electric, gas, water, telephone, and telegraph companies.  | **Retain** for 17 years after end of calendar year *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOPR |
| 73-05-02594Rev. 3 | ***Reports – Regulated Industries*** Annual or quarterly reporting of financial information and historical results of operations (investments, depreciation, reserves, costs levels, rebate level analysis) for regulated utility (electric, gas, water, telecommunications, cable) and transportation companies received by UTC.  | **Retain** for 6 years after end of calendar year *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOPR |

1. HEARINGS AND PROCEEDINGS

This section covers records relating to evidentiary records, including witness testimony, exhibits, legal briefs, transcripts, and Commission orders.

| * 1. FORMAL CASES

The activity of holding formal adjudicative proceedings and decisions made in rate hearings, formal complaints and investigations. |
| --- |
| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND****DISPOSITION ACTION** | **DESIGNATION** |
| 79-05-22453Rev. 3 | ***Commission Orders (Order Books)***Provides a record of original orders with original signatures.  | **Retain** until bound *then***Transfer** to Washington State Archives for permanent retention. | **ARCHIVAL** **(Permanent Retention)** NON-ESSENTIALOPR |
| 79-05-22452Rev. 2 | ***Docket Books***Provides a record of all legal activities within Utilities & Transportation Commission. | **Retain** for 50 years after bound *then***Transfer** to Washington State Archives for permanent retention. | **ARCHIVAL** **(Permanent Retention)** NON-ESSENTIALOFM |
| 79-05-22364Rev. 3 | ***Formal Transportation Cases (T-Files)***Formal activity associated with transportation contested cases, i.e., motor carrier, railroad, garbage, steamboat and buses. Includes, but is not limited to:* Tariff Revision filings;
* Suspended filings;
* Formal Complaints;
* Petitions;
* Rail applications;
* Rulemakings;
* Regulatory Fees;
* Solid Waste Management Plans;
* Penalty Assessments;
* Case work papers;
* Staff Investigation.
 | **Retain** for 7 years after end of calendar year *then***Transfer** to Washington State Archives for permanent retention. | **ARCHIVAL****(Permanent Retention)**NON-ESSENTIALOPR |
| 79-05-22451Rev. 3 | ***Formal Utility Cases (U-Files)***Formal activity associated with electric, gas, water, low level radioactive waste and telephone. Includes, but is not limited to:* Tariff Revision filings;
* Suspended filings;
* Contracts;
* Formal Complaints;
* Petitions;
* Affiliated Interests;
* Securities;
* Transfers of Property;
* Name Changes;
* Cessation of Service filings;
* Telephone registrations and Telephone Number Resource filings;
* ETC Certifications;
* Interconnection Agreements;
* Requests for Proposals;
* Rulemakings;
* Staff Investigations and case work papers;
* Rejected filings;
* Removal from Regulation;
* Penalty Assessments;
* Resource Plans.
 | **Retain** for 7 years after end of calendar year *then***Transfer** to Washington State Archives for permanent retention. | **ARCHIVAL** **(Permanent Retention)**NON-ESSENTIALOPR |
| 93-03-52151Rev. 2 | ***Public Comments (Pre-Filed Exhibits)***Consumer letters to the Commission either opposing or in favor of the issue before the Commission. Documents are reviewed and may/or may not be admitted as an exhibit at a formal proceeding. | **Retain** for 2 years after end of calendar year *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOFM |

| * 1. TARIFFS

The activity of filing and monitoring of tariffs by regulated industries. |
| --- |
| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND****DISPOSITION ACTION** | **DESIGNATION** |
| 93-10-53154Rev. 1 | ***Tariff Contract Filings***Legally mandated contract filings received from regulated utility companies. Contracts are between two utility companies or a utility company and another entity. *Note: Some contracts may contain confidential information. Contract submissions are required under WAC 480-80-141; WAC 480-80-142; WAC 480-80-143, and RCW 19.29A.090.* | **Retain** for 6 years after termination or expiration of instrument *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOFM |
| 18-10-69316Rev. 0 | ***Tariff Files***Tariff filings received from regulated utility companies requesting rate changes, utility boundary areas, changes in tariff schedules or other changes. Includes, but is not limited to:* Tariff maps;
* Rate tracking documentation;
* Related correspondence.
 | **Retain** for life of company *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOFM |

1. INVESTIGATIONS

This section covers the activities related to investigating and auditing utility and transportation companies.

| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND****DISPOSITION ACTION** | **DESIGNATION** |
| --- | --- | --- | --- |
| 93-10-53160Rev. 2 | ***Utility and Transportation Staff Investigation Work Papers***Results of audits and investigations on utility and transportation regulated companies into their rates, regulations, business practices, and special investigation audits. Includes, but is not limited to:* Account Information;
* Charts, graphs, and other statistical information;
* Copies of correspondence;
* Corrective actions taken;
* Findings of auditors that serve to substantiate or refute rate requests;
* Information on company practices;
* Internal memoranda;
* Photographs;
* Rail defect reports issued;
* Recordings and conversations;
* Records of emails including follow-up on telephone conversations;
* Summaries of past staff audits;
* Summaries of special investigation audits;
* Work papers (\*in Excel format) concerning requests for rate increases;
* Work papers for the Grade Crossing Protective Fund (GCPF), petition, close clearance, penalties, complaints, and quiet zones;
* Meeting and field notes.

Excludes Case Work Papers that lead to Decisions made by the Commission, covered under *Section 3.1 Formal Cases.* | **Retain** for 7 years after end of calendar year *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOPR |

1. PUBLIC SAFETY AND TRANSPORTATION

This section covers records relating to public safety concerns related to the regulated industries of energy/power (including electric, gas, oil, and wind), telecommunications, transportation (including common carriers, railroads and solid waste carriers), and water companies.

| * 1. COMMON CARRIERS

The activity of monitoring and regulating the transportation industry of common carriers, household goods, charters and excursions, auto transportation, contract railroad crew carriers, solid waste, and commercial ferries. |
| --- |
| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND****DISPOSITION ACTION** | **DESIGNATION** |
| 06-04-61142Rev. 1 | ***Carrier Interstate Registration Files***Provide data on carriers who register under the Unified Carrier Registration (UCR), hauling commodities for-hire in interstate commerce. | **Retain** for 6 years after end of calendar year *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOPR |
| 80-08-25379Rev. 4 | ***Carrier Permit Records***Permits issued to heavily regulated, for-hire carriers hauling commodities in intrastate commerce, such as: passenger carriers, ferries, solid waste, and railroad crew carriers. Includes, but is not limited to:* Applications;
* Insurance verification;
* Proof of safety compliance;
* Related correspondence/communication.

Excludes records covered by *Common Carrier Permit Records (DAN 19-04-69354).* | **Retain** for 6 years after permit terminated *then***Transfer** to Washington State Archives for permanent retention. | **ARCHIVAL****(Permanent Retention)**NON-ESSENTIALOPR |
| 19-04-69354Rev. 0 | ***Common Carrier Permit Records***Permits issued to lightly regulated, for-hire carriers hauling commodities in intrastate commerce, such as: motor carriers, freight forwarders and brokers*.*Includes, but is not limited to:* Applications;
* Insurance verification;
* Related correspondence/communication.

Excludes records covered by *Carrier Permit Records (DAN 80-08-28379).* | **Retain** for 6 years after permit terminated *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOPR |

| * 1. ENERGY FACILITIES

The activity of monitoring and regulating the siting and construction of certain non-hydroelectric energy facilities (alternative energy such as wind turbine, nuclear, refineries, etc.) by the Energy Facility Site Evaluation Council (EFSEC). |
| --- |
| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND****DISPOSITION ACTION** | **DESIGNATION** |
| 18-10-69327Rev. 1 | ***Cases Approved (But Not Constructed)***Provides a record of EFSEC cases that are approved but not constructed. Includes, but is not limited to:* SEPA Compliance;
* Applications submitted to the Council for these projects;
* Records of adjudicative proceedings conducted by the Council;
* Records of appeals of Council or Governor decisions;
* Compliance monitoring of facility construction and operation;
* Off-site emergency response planning and activities;
* Project termination and site restoration planning and activities;
* Site certification agreement amendments;
* Contracting and other review activities conducted in support of these projects.

*Note: This series includes (but is not limited to) records pertaining to the following proposals: Wallula Power Project, Sumas 2 Generation Facility, Weyerhaeuser/Cowlitz Project, BP Cherry Point Cogeneration, and the Creston Power Project.* | **Retain** for 10 years after end of fiscal year in which the Site Certification Agreement (SCA) was terminated *then***Transfer** to Washington State Archives for appraisal and selective retention. | **ARCHIVAL****(Appraisal Required)**NON-ESSENTIALOPR |
| 18-10-69326Rev. 1 | ***Discontinued Cases*** Records relating to cases that are discontinued due to preclusion of federal Legislation, legal difficulties, a denial by the Governor, at the request of the applicant, or other valid reasons. Includes, but is not limited to:* Legal description of the proposed site;
* General correspondence;
* Materials and agenda regarding site visit tours;
* Consultant selection environmental report & final analysis study;
* Transcripts and exhibits from initial and informational hearings and prehearing conferences;
* Official distribution list as well as files of parties who are granted intervenor status.

*Note: This series includes (but is not limited to) records pertaining to the following proposals: Starbuck Power Project, Olympic Pipeline, Tesoro Savage Vancouver Energy Distribution Terminal.* | **Retain** for 10 years after end of fiscal year in which project was discontinued *then***Transfer** to Washington State Archives for appraisal and selective retention. | **ARCHIVAL****(Appraisal Required)**NON-ESSENTIALOPR |
| 18-10-69317Rev. 1 | ***Nuclear Power Projects***Records relating to reviews and recommendations to the Governor for Washington Nuclear Projects (WNP), such as projects 1,2,3,4 & 5. Includes, but is not limited to:* Applications submitted to the Council for these projects;
* SEPA compliance;
* Records of adjudicative proceedings conducted by the Council;
* Records of appeals of Council or Governor decisions;
* Compliance monitoring of facility construction and operation;
* Off-site emergency response planning and activities;
* Project termination and site restoration planning and activities;
* Site certification agreements and amendments;
* Council orders and resolutions relating to nuclear power generating sites;
* Incident reports, testing results, compliance violations, and enforcements actions;
* Contracting or other review activities conducted in support of these projects.
 | **Retain** for 25 years after site restoration completion date *then***Transfer** to Washington State Archives for permanent retention. | **ARCHIVAL****(Permanent Retention)****ESSENTIAL****(for Disaster Recovery)**OPR |
| 18-10-69318Rev. 1 | ***Operating Alternative Energy Facilities***Records relating to reviews, recommendations to the Governor, and compliance monitoring of operating alternative energy producing facilities. Alternative energy resources includes energy facilities of the following types: Wind energy, solar energy, geothermal energy, landfill gas, wave or tidal action, and biomass energy based on solid organic fuels. Includes, but is not limited to:* SEPA compliance;
* Applications submitted to the Council for the related project;
* Records of adjudicative proceedings conducted by the Council;
* Records of appeals of Council or Governor decisions;
* Compliance monitoring of facility construction and operation;
* Off-site emergency response planning and activities;
* Project termination and site restoration planning and activities;
* Site certification agreements and amendments;
* Contracting and other review activities conducted in support of this project;
* Council order and resolutions relating to project site;
* Incident reports, testing results, compliance variations, enforcement actions;
* Contracting and other review activities conducted in support of this project.
 | **Retain** for 25 years after site restoration completion date *then***Transfer** to Washington State Archives for appraisal and selective retention. | **ARCHIVAL****(Appraisal Required)****ESSENTIAL****(for Disaster Recovery)**OPR |
| 18-10-69322Rev. 1 | ***Operating Thermal Facilities***Records relating to reviews and recommendations to the Governor and compliance for operating thermal facilities, such as Chehalis Generating facility and Grays Harbor Energy (formerly Satsop, formerly WNP 3/5). Includes, but is not limited to:* Applications submitted to the Council for these projects;
* SEPA compliance;
* Records of adjudicative proceedings conducted by the Council;
* Recommendation records and Governor’s decision;
* Records of appeals of Council or Governor decisions;
* Compliance monitoring of facility construction and operation;
* Off-site emergency response planning and activities;
* Project termination and site restoration planning and activities;
* Site certification agreement amendments;
* Council orders and resolutions relating to project site;
* Incident reports, testing results, compliance violations;
* Contracting and other review activities conducted in support of this project.
 | **Retain** for 25 years after site restoration completion date *then***Transfer** to Washington State Archives for appraisal and selective retention. | **ARCHIVAL****(Appraisal Required)****ESSENTIAL****(for Disaster Recovery)**OPR |
| 18-10-69319Rev. 1 | ***Pipeline or Transmission Line Projects***Records relating to reviews and recommendations to the Governor for pipeline or transmission line projects. Includes, but is not limited to:* Applications submitted to the Council;
* SEPA compliance;
* Records of adjudicative proceedings conducted by the Council;
* Records of appeals of Council or Governor decisions;
* Compliance monitoring of facility construction and operation;
* Off-site emergency response planning and activities;
* Project termination and site restoration planning and activities;
* Site certification agreements and amendments;
* Council orders and resolutions relating to project site;
* Incident reports, testing results, compliance violations, enforcement actions;
* Contracting and other review activities conducted in support of this project.
 | **Retain** for 25 years after final date of decommissioned project *then***Transfer** to Washington State Archives for appraisal and selective retention. | **ARCHIVAL****(Appraisal Required)****ESSENTIAL****(for Disaster Recovery)**OPR |

| * 1. PIPELINES

The activity of the monitoring and regulating of the pipeline industry. |
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| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND****DISPOSITION ACTION** | **DESIGNATION** |
| 79-05-22454Rev. 1 | ***Gas Distribution and Transmission Safety***Reports of inspections conducted of gas companies to insure that certificates are issued and safety precautions are met. | **Retain** for life of pipeline *then***Transfer** to Washington State Archives for permanent retention. | **ARCHIVAL****(Permanent Retention)**NON-ESSENTIALOPR |
| 08-09-61859Rev. 2 | ***Pipeline Company Manuals***Operational manuals for regulated gas and liquid company pipelines. Manuals contain instructions for compliance with state and federal laws, including procedures for rules and safe pipeline system operation. Manuals are used routinely in company annual inspections and incident investigations. *Note: There is no statute of limitations on operator pipelines, equipment installations or procedure requirements subject to inspection. Therefore, these manuals are permanently active.* | **Retain** for life of agency *then***Transfer** to Washington State Archives for permanent retention. | **ARCHIVAL****(Permanent Retention)****ESSENTIAL****(for Disaster Recovery)**OPR |
| 18-10-69328Rev. 1 | ***Pipeline Company Reports***Records relating to regulated gas and liquid companies. Includes, but is not limited to:* Incident reports related to dig-ins or damage to lines;
* General miscellaneous reports unrelated to an investigation or docketed item;
* Correspondence.
 | **Retain** for life of agency *then***Transfer** to Washington State Archives for permanent retention. | **ARCHIVAL****(Permanent Retention)****ESSENTIAL****(for Disaster Recovery)**OPR |
| 08-09-61858Rev. 2 | ***Pipeline Safety Inspection Documentation and Working Papers***Includes, but is not limited to:* Pictures;
* Maps;
* Interview notes;
* Email;
* Company memorandums;
* Other documentation associated with pipeline safety enforcement visits.

*Note: There is no statute of limitations on conditions subject to repeat or no abatement violations. Therefore, the files are permanently active.* | **Retain** for life of agency *then***Transfer** to Washington State Archives for appraisal and selective retention. | **ARCHIVAL****(Appraisal Required)****ESSENTIAL****(for Disaster Recovery)**OPR |

| * 1. RAILROADS

The activity of monitoring and regulating of railroad carriers. |
| --- |
| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND****DISPOSITION ACTION** | **DESIGNATION** |
| 19-04-69355Rev. 0 | ***Operational/Not at Grade Crossing Accident Records (Routine)***Investigations into injuries, collisions and derailments that involve a minimal amount of damage. Includes, but is not limited to: * Non-Grade Crossing Accidents;
* Trespasser incidents and investigative reports;
* Railroad employee non-serious injuries and non-fatality reports;
* Collisions and derailments not at a crossing.
* Accidents that do not involve major injury/destruction or monetary payout.

*Note: Records are for safety analysis and collection and used to identify areas where regulatory control may be needed per RCW 81.28.280.* | **Retain** for 10 years after end of calendar year *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOFM |
| 80-06-25067Rev. 2 | ***Operational/Not at Grade Crossing Accident Records (Significant)***Investigations into injuries, collisions and derailments that involve a significant amount of damage and/or receive major media attention, such as: Death, major injuries, and major monetary payouts.Includes, but is not limited to:* Non-Grade Crossing Accidents;
* Trespasser incidents and investigative reports;
* Railroad employee serious injuries and fatalities reports, and
* Collisions and derailments not at a crossing.

*Note: Records are for safety analysis and collection and used to identify areas where regulatory control may be needed per RCW 81.28.280.* | **Retain** for 10 years after end of calendar year *then***Transfer** to Washington State Archives for permanent retention. | **ARCHIVAL****(Permanent Retention)**NON-ESSENTIALOPR |
| 90-07-46314Rev. 1 | ***Railroad Abandonment Files***Applications and other documents, regarding abandonment of railroad trackage and Interstate Commerce Commission (ICC) decisions. *Note: Records are provided to the commission from the Railroad and Surface Transportation Board under RCW 47.76.240. The records are provided for informational purposes to the commission, but the UTC may file comments in certain proceedings. In addition, if the UTC requests the information from a railroad, they must report under WAC 480-62-315.* | **Retain** for 6 years after decision made *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOFM |
| 18-10-69331Rev. 0 | ***Railroad Company Monthly Summary Reports***Summaries that include accident records, amended accident records, both for grade crossing and operational incidents that are provided by railroad companies. The UTC’s role is to collect, analyze, and investigate accidents, as appropriate.*Note: Reporting is required under WAC 480-62-310, WAC 480-62-315, and RCW 81.28.290.* | **Retain** for 6 years after end of calendar year *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOPR |
| 18-10-69332Rev. 1 | ***Railroad County Files***County files for railroad issues. These records provide the history of railroad crossings or other railroad issues. The county submits these records to the commission randomly, and the files are used for processing more current work. Includes, but is not limited to:* Correspondence;
* Findings;
* Complaints;
* Miscellaneous issues concerning railroad tracks and crossings within the county of record.
 | **Retain** for 6 years after calendar year *then***Transfer** to Washington State Archives for permanent retention. | **ARCHIVAL****(Permanent Retention)**NON-ESSENTIALOPR |
| 19-04-69356Rev. 0 | ***Railroad Crossing Accident Reports (Routine)***Required reporting by railroads of grade crossing accidents that involve a minimal amount of damage.Includes, but is not limited to:* Police reports;
* Railroad reports;
* Emergency management correspondence;
* Photographs;
* UTC investigative reports.

*Note: Records are for safety analysis in determining whether further protection devices needed at crossing. Per RCW 81.54.020, RCW 81.28.290, and WAC 480-62-310.* | **Retain** for 10 years after end of calendar year *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOPR |
| 80-06-25068Rev. 2 | ***Railroad Crossing Accident Reports (Significant)***Required reporting by railroads of grade crossing accidents that involve a significant amount of damage and/or receive major media attention, such as: Death, major injuries, and major monetary payouts.Includes, but is not limited to:* Police reports;
* Railroad reports;
* Emergency management correspondence;
* Photographs;
* UTC investigative reports;
* Death Certificates;
* Coroner Reports.

*Note: Records are for safety analysis in determining whether further protection devices needed at crossing. Per RCW 81.54.020, RCW 81.28.290, and WAC 480-62-310.* | **Retain** for 10 years after end of calendar year *then***Transfer** to Washington State Archives for appraisal and selective retention. | **ARCHIVAL****(Permanent Retention)**NON-ESSENTIALOPR |
| 18-10-69329Rev. 0 | ***Railroad Crossing Inspections***Routine crossing inspections and inspections resulting from a complaint. Includes, but is not limited to:* Inspection reports;
* Defect notices;
* Responses from railroad companies and road authorities regarding railroad crossing defect notices;
* Photographs.
 | **Retain** for 6 years after end of calendar year *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOPR |
| 18-10-69330Rev. 0 | ***Railroad Walkways***UTC inspectors inspect walkways in railroad yards for compliance to WAC 480-60-035. Adequate walkways for railroad employees are needed to ensure that they have a walking area that is free of obstructions. Walkways are routinely inspected every three years or sooner, if there is a complaint. Includes, but is not limited to:* Inspection reports;
* Defect notices;
* Responses from railroad companies regarding walkway defect notices;
* Photographs.
 | **Retain** for 6 years after end of calendar year *then***Transfer** to Washington State Archives for appraisal and selective retention. | **ARCHIVAL****(Appraisal Required)**NON-ESSENTIALOPR |
| 80-06-25069Rev. 2 | ***Shelter and Sanitation***The Commission enforces rules and regulations relating to sanitation and shelter affecting railroad employees. Investigations and inspections of locomotives and railroad locker/lunchrooms/toilets, which may be conducted per RCW 81.40.095. *Note: UTC inspectors ensure that railroads provide clean safe working conditions. The inspectors may issue a defect report if the rule requirements are not met. If the railroad is not responsive, enforcement action including a penalty may be taken against the railroad.* | **Retain** for 6 years after end of calendar year *then***Transfer** to Washington State Archives for appraisal and selective retention. | **ARCHIVAL****(Appraisal Required)**NON-ESSENTIALOPR |

| * 1. UTILITIES

The activity of regulating and monitoring public safety concerns of power, telecommunications and water services.  |
| --- |
| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND****DISPOSITION ACTION** | **DESIGNATION** |
| 79-05-22455Rev. 2 | ***Leak and Accident Reports of Utility Companies***Correspondence received and sent from companies and Commission staff regarding reports of utility accidents. | **Retain** for 5 years after end of calendar year *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOFM |
| 79-05-22449Rev. 1 | ***Utilities Inspection***Provides information pertaining to operations other than safety of gas, water, electric and telecommunication. | **Retain** for 7 year after end of calendar year *then***Transfer** to Washington State Archives for appraisal and selective retention. | **ARCHIVAL****(Appraisal Required)**NON-ESSENTIALOFM |

1. LEGACY RECORDS

This section covers records no longer being created/received by Utilities and Transportation Commission, but the existing records have not yet reached their minimum retention period.

| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND****DISPOSITION ACTION** | **DESIGNATION** |
| --- | --- | --- | --- |
| 93-10-53153Rev. 1 | ***Reading Files***Copies of documentation between the commission and various companies regarding statutes and regulations. *Note: The original records are managed under multiple records series. These copies were created as part of an old work process, and work is no longer being done that way.* | **Retain** for 6 years after end of calendar year *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOPR |

glossary

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| --- |
| ***Appraisal***  |
| **The process of determining the value and disposition of records based on their current administrative, legal, and fiscal use; their evidential and informational or research value; and their relationship to other records.** |
| ***Archival (Appraisal Required)***  |
| **Public records which may possess enduring legal and/or historic value and must be appraised by the Washington State Archives on an individual basis.***Public records will be evaluated, sampled, and weeded according to archival principles by archivists from Washington State Archives (WSA). Records not selected for retention by WSA may be disposed of after appraisal.* |
| ***Archival (Permanent Retention)***  |
| **Public records which possess enduring legal and/or historic value and must not be destroyed. State government agencies must transfer these records to Washington State Archives (WSA) at the end of the minimum retention period.***WSA will not sample, weed, or otherwise dispose of records fitting the records series description designated as “Archival (Permanent Retention”) other than the removal of duplicates.* |
| ***Disposition*** |
| **Actions taken with records when they are no longer required to be retained by the agency.***Possible disposition actions include transfer to Washington State Archives and destruction.* |
| ***Disposition Authority Number (DAN)***  |
| **Control numbers systematically assigned to records series or records retention schedules when they are approved by the State Records Committee.** |
| ***Essential Records*** |
| **Public records that state government agencies must have in order to maintain or resume business continuity following a disaster. While the retention requirements for essential records may range from very short-term to archival, these records are necessary for an agency to resume its core functions following a disaster.***Security backups of these public records should be created and may be deposited with Washington State Archives in accordance with Chapter 40.10 RCW.* |
| ***Non-Archival*** |
| **Public records which do not possess sufficient historic value to be designated as “Archival”. Agencies must retain these records for the minimum retention period specified by the appropriate, current records retention schedule.***Agencies should destroy these records after their minimum retention period expires, provided that the records are not required for litigation, public records requests, or other purposes required by law.* |
| ***Non-Essential Records*** |
| **Public records which are not required in order for an agency to resume its core functions following a disaster, as described in Chapter 40.10 RCW.** |
| ***OFM (Office Files and Memoranda)***  |
| **Public records which have been designated as “Office Files and Memoranda” for the purposes of RCW 40.14.010.***RCW 40.14.010 – Definition and classification of public records.*  *(2) “Office files and memoranda include such records as correspondence, exhibits, drawings, maps, completed forms, or documents not above defined and classified as official public records; duplicate copies of official public records filed with any agency of the state of Washington; documents and reports made for the internal administration of the office to which they pertain but not required by law to be filed or kept with such agency; and other documents or records as determined by the records committee to be office files and memoranda.”* |
| ***OPR (Official Public Records*** |
| **Public records which have been designated as “Official Public Records” for the purposes of RCW 40.14.010.***RCW 40.14.010 – Definition and classification of public records.**(1) “Official public records shall include all original vouchers, receipts, and other documents necessary to isolate and prove the validity of every transaction relating to the receipt, use, and disposition of all public property and public income from all sources whatsoever; all agreements and contracts to which the state of Washington or any agency thereof may be a party; all fidelity, surety, and performance bonds; all claims filed against the state of Washington or any agency thereof; all records or documents required by law to be filed with or kept by any agency of the state of Washington; … and all other documents or records determined by the records committee… to be official public records.”* |
| ***Public Records*** |
| **RCW** **40.14.010** *–* **Definition and classification of public records.***“… The term "public records" shall include any paper, correspondence, completed form, bound record book, photograph, film, sound recording, map drawing, machine-readable material, compact disc meeting current industry ISO specifications, or other document, regardless of physical form or characteristics, and including such copies thereof, that have been made by or received by any agency of the state of Washington in connection with the transaction of public business…”* |
| ***Records Series*** |
| **A group of records, performing a specific function, which is used as a unit, filed as a unit, and may be transferred or destroyed as a unit. A records series may consist of a single type of form or a number of different types of documents that are filed together to document a specific function.** |
| ***State Records Committee*** |
| **The committee established by RCW 40.14.050 to review and approve disposition of state government records.***Its four members include the State Archivist and one representative each from the Office of the Attorney General, Office of the State Auditor, and the Office of Financial Management.* |

INDEXES

ARCHIVAL RECORDS INDEX

*See the State Government General Records Retention Schedule for additional “Archival” records.*

HEARINGS AND PROCEEDINGS

Formal Cases

Commission Orders (Order Books) 6

Docket Books 6

Formal Transportation Cases (T-Files) 7

Formal Utility Cases (U-Files) 8

PUBLIC SAFETY AND TRANSPORTATION

Common Carriers

Carrier Permit Records 12

Energy Facilities

Cases Approved (But Not Constructed) 14

Discontinued Cases 15

Nuclear Power Projects 16

Operating Alternative Energy Facilities 17

Operating Thermal Facilities 18

Pipeline or Transmission Line Projects 19

Pipelines

Gas Distribution And Transmission Safety 20

Pipeline Company Manuals 20

Pipeline Company Reports 20

Pipeline Safety Inspection Documentation and Working Papers 21

Railroads

Operational/Not at Grade Crossing Accident Records (Significant) 22

Railroad County Files 23

Railroad Crossing Accident Reports (Significant) 25

Railroad Walkways 26

Shelter and Sanitation 26

Utilities

Utilities Inspection 27

ESSENTIAL RECORDS INDEX

*See the State Government General Records Retention Schedule for “Essential” records.*

PUBLIC SAFETY AND TRANSPORTATION

Energy Facilities

Nuclear Power Projects 16

Operating Alternative Energy Facilities 17

Operating Thermal Facilities 18

Pipeline or Transmission Line Projects 19

Pipelines

Pipeline Company Manuals 20

Pipeline Company Reports 20

Pipeline Safety Inspection Documentation and Working Papers 21

DISPOSITION AUTHORITY NUMBERS (dan’S) INDEX

06-04-61142 12

08-09-61858 21

08-09-61859 20

18-10-69316 10

18-10-69317 16

18-10-69318 17

18-10-69319 19

18-10-69322 18

18-10-69326 15

18-10-69327 14

18-10-69328 20

18-10-69329 25

18-10-69330 26

18-10-69331 23

18-10-69332 23

19-04-69354 13

19-04-69355 22

19-04-69356 24

73-05-02594 5

79-05-22364 7

79-05-22449 27

79-05-22451 8

79-05-22452 6

79-05-22453 6

79-05-22454 20

79-05-22455 27

80-06-25067 22

80-06-25068 25

80-06-25069 26

80-08-25379 12

81-07-28462 5

90-07-46314 23

92-01-49675 4

93-03-52151 9

93-10-53153 28

93-10-53154 10

93-10-53160 11

Subject INDEX

*Note: The use in this index of SGGRRS refers to the State Government General Records Retention Schedule.*

A

accidents

operational/not at grade crossing 22

railroad crossing 24, 25

utility companies 27

agreements *see SGGRRS*

asset management *see SGGRRS*

audits *see SGGRRS*

B

backups *see SGGRRS*

BP Cherry Point Cogeneration (BP Cogen) 14

brokers 13

budget

annual expenditures 5

budgeting *see SGGRRS*

C

carrier interstate registration files 12

carrier permits 12, 13

Chehalis Generating Stations 18

commission orders 6

common carrier permits 13

complaints *see SGGRRS*

about companies by consumers (informal) 4

contracts *see SGGRRS*

tariff contracts 10

Creston Power Project 14

D

docket books 6

E

EFSEC

cases approved but not constructed 14

discontinued cases 15

nuclear projects 16

operating alternative energy facilities 17

operating thermal facilities 18

pipeline or transmission line projects 19

F

facilities *see SGGRRS*

ferries 12

financial records *see SGGRRS*

formal cases

transportation 7

utility 8

freight forwarders 13

G

grants *see SGGRRS*

Grays Harbor Energy 18

grievances *see SGGRRS*

H

human resources *see SGGRRS*

I

incident reports

pipeline companies 20

information systems *see SGGRRS*

inspection reports

gas distribution 20

pipeline companies 20

railroad crossing 25

railroad walkways 26

shelter and sanitation 26

transmission safety 20

utilities 27

investigation reports

operational/not at grade crossing 22

railroad crossing accident 24, 25

shelter and sanitation 26

K

Kittitas Valley Wind Power Project (KVWPP) 17

L

leak and accident reports 27

leave *see SGGRRS*

legal affairs *see SGGRRS*

M

mail services *see SGGRRS*

manuals

pipeline companies 20

meetings *see SGGRRS*

motor carriers 13

motor vehicles *see SGGRRS*

O

Olympic Pipeline 15

order books 6

P

passenger carriers 12

payroll *see SGGRRS*

pipeline safety

inspections 21

policies/procedures *see SGGRRS*

pre-filed exhibits 9

public disclosure *see SGGRRS*

public records requests *see SGGRRS*

publications *see SGGRRS*

R

railroad abandonment 23

railroad company monthly summary reports 23

railroad county files 23

railroad crew carriers 12

railroad crossing inspections 25

railroad walkways 26

records management *see SGGRRS*

reports

railroad company monthly summary 23

regulated industries 5

utility companies leaks and accidents 27

risk management *see SGGRRS*

S

sanitation regulations 26

Satsop 18

security *see SGGRRS*

shelter regulations 26

solid waste 12

Starbuck Power Project 15

Sumas 2 Generation Facility 14

T

tariffs

contracts 10

filings 10

telecommunications *see SGGRRS*

Tesoro Savage Vancouver Energy Distribution Terminal 15

t-files 7

timesheets *see SGGRRS*

training *see SGGRRS*

transitory records *see SGGRRS*

travel *see SGGRRS*

U

u-files 8

unified carrier registration (UCR) 12

V

vehicles *see SGGRRS*

W

Wallula Power Project 14

Washington Nuclear Projects (WNP) 16

Weyerhaeuser/Cowlitz Project 14

Whistling Ridge Energy Project (WRE) 17

Wild Horse Wind Power Project (WHWPP) 17

work papers

case work papers 7, 8

pipeline safety inspections 21

utility and staff investigation 11

written comments 9